

Broadridge® Smart Solutions for Reg BI

ADDRESS FORM CRS AND REG BI OBLIGATIONS WITH CONFIDENCE AND EFFICIENCY

Step up to the new standard of care for firms and their broker-dealers and registered representatives. With unique industry perspective, hands-on expertise and powerful, purpose-built modular solutions, Broadridge makes it easy to check the boxes on all your Regulation Best Interest (Reg BI) and Form CRS obligations.

| BROADRIDGE SOLUTIONS FOR REG BI | Form CRS | Duty of Care | Compliance | Conflict of Interest | Disclosure |
|---|----------|--------------|------------|----------------------|------------|
| Broadridge Consulting Services | ✓ | ✓ | ✓ | ✓ | ✓ |
| Compensation management | | ✓ | | ✓ | |
| Fiduciary fund scoring | | ✓ | | | |
| Share class and fund suitability | | ✓ | | ✓ | |
| Retirement portfolio and rollover cost analysis | | ✓ | | | |
| Reg BI education and training program | ✓ | ✓ | ✓ | ✓ | ✓ |
| Disclosure management and document distribution | ✓ | | ✓ | | ✓ |
| Digital delivery and web presentment | ✓ | | ✓ | | ✓ |
| Post-trade surveillance reports | | ✓ | ✓ | ✓ | |

BROADRIDGE CONSULTING SERVICES

Actionable insight. Proven execution.

Benchmark, strategize and prioritize for timely, efficient compliance. Choose full program management, or specific consultative engagements. Broadridge experts can help you with technology design and implementation; conflict of interest matrices and management; disclosure compliance alignment and reconciliation; data aggregation and more.

Leverage practical know-how and a full range of solutions

www.broadridge.com/regbicomply

BROADRIDGE TECHNOLOGY SOLUTIONS



Broadridge Smart Distribution Hub: Our technology platform easily integrates with your existing infrastructure. With a web portal and robust solution for document distribution and tracking, it helps you take advantage of our modular solutions.

Broadridge Standard of Care

Levelize compensation, establish practices and procedures, and provide training and education on the risks, rewards and costs associated with recommending a security or investment strategy.

- **Share Class & Fund Suitability:** Tools to evaluate suitability and document recommendations to simplify compliance with new “Best Interest” standards
- **Compensation Management:** Sales reporting and analytics and a 360-degree view of clients; seamless integration of Reg BI disclosure for direct business accounts
- **Fiduciary Fund Scoring:** Data to evaluate and score products, assessing strength and weaknesses of product shelf against broader industry fund offerings

Broadridge Distribution

Take advantage of robust capabilities designed to address each step from Form CRS creation through reporting and archival.

- **Digital and Print Communications:** Added efficiencies and effectiveness for compliant engagements across print and digital channels
- **PostEdge®:** Secure, searchable, accessible environment for archiving, transforming and repurposing data across document types and channels
- **Educational and Marketing Communications Tools:** Tools to help firms empower their broker-dealers and registered representatives to efficiently manage, implement and analyze marketing and communications activities